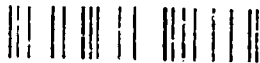


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## OVERVIEW OF MANAGEMENT THEORY

BY

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USDA - Forest Service

and

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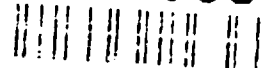
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| <p>Basic management theory, principles, and application concepts are applied daily by military officers, civilian supervisors, and other leaders to achieve organizational goals and personal objectives. Such theory provides us with a solid framework for working successfully with people. It enables us to use effectively many systemic processes and motivation aspects of organizational structure and functions. Most important, the theory orients command leadership for the enormous task of managing organizations in our environment fraught with volatility, uncertainty, complexity, and ambiguity (VUCA)</p> <p>This study provides an overview of current management theories and offers some thoughts about the future. The study combines the authors' review of literature, including recent articles, and their personal experiences as military and civilian leaders. The study also reflects views gathered from friends and educators of the authors.</p> <p>Those with limited training or experience as managers will find the overview has many basic approaches and thoughts that can be the stimulus for further study. For the</p> |       |  |   |   |                                     |
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OVERVIEW OF MANAGEMENT THEORY  
A GROUP STUDY PROJECT

by

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## Abstract

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Earl N. Steck, LTC, U.S. Army

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Basic management theory, principles, and application concepts are applied daily by military officers, civilian supervisors, and other leaders to achieve organizational goals and personal objectives. Such theory provides us with a solid framework for working successfully with people. It enables us to use effectively many systemic processes and motivation aspects of organizational structure and functions. Most important, the theory orients command leadership for the enormous task of managing organizations in our environment fraught with volatility, uncertainty, complexity, and ambiguity (VUCA).

This study provides an overview of current management theories and offers some thoughts about the future. The study combines the authors' review of literature, including recent articles, and their personal experiences as military and civilian leaders. The study also reflects views gathered from friends and educators of the authors.

Those with limited training or experience as managers will find the overview has many basic approaches and thoughts that can be the stimulus for further study. For the experienced manager, this study provides a quick review. This project is intended to be Chapter 2 of the United States Army War College, Department of Command, Leadership and Management (DCLM) text entitled Army Command and Management: Theory and Practice (1991-1992 Edition).

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## OVERVIEW OF MANAGEMENT THEORY

### INTRODUCTION

"Management Is...A Means To An End."<sup>1</sup> - Peter F. Drucker

This chapter provides a basic understanding of what management is, how management evolved, what managers do. It offers helpful, practical concepts. It closes with a discussion of contemporary thoughts and future issues. This chapter is intended to stimulate managers to think about the managerial system they use and offer some alternative managerial strategies. Throughout, we want to stimulate managers towards responsible management.

Unless otherwise stated, whenever the masculine gender is used, both men and women are included.

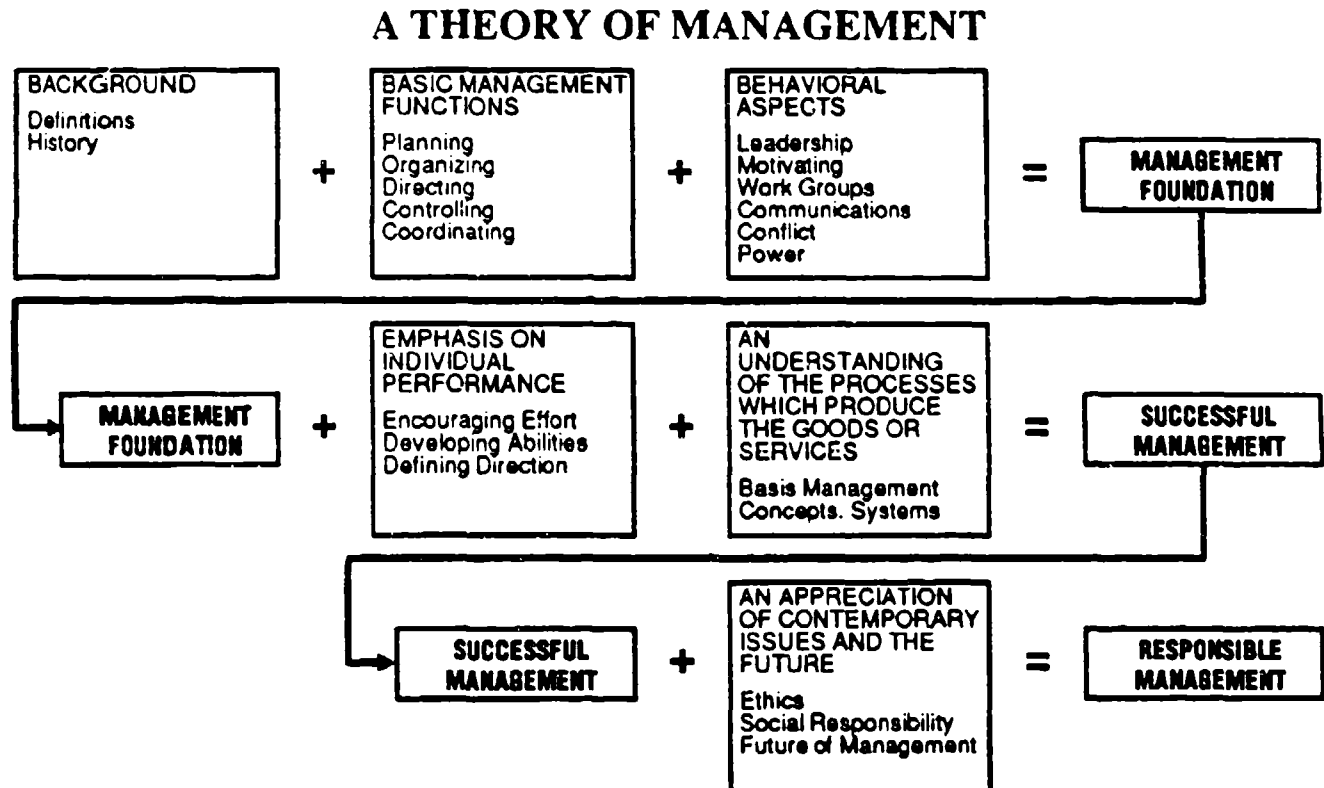
Management has been defined many times and in many different ways. Rue and Byars offer a precise definition:

Management is a process or form of work that involves the guidance or direction of a group of people towards organizational goals or objectives.<sup>2</sup>

Managers are catalysts: they make things happen. The manager is a coach, a facilitator, a developer, a director, an organizer, a decision maker, a team builder, and a consultant. Managers must be able to view the work effort with a practical eye. They see roadblocks and then prepare strategies and provide direction to remove the obstacles and energize people as they combine their resources to achieve common goals.<sup>3</sup>



Rue and Byars' model "A Theory of Management" (Figure 2-1) presents an array of the major concepts and principles that can be used to study the theory of management. Figure 2-1 enables us to analyze any organization by following the flow of information from its foundations through performance and organizational ethics.



Adapted from Management: theory and application by Rue and Byars. Copyright (c) 1977 by Irwin, Inc. Used by permission of Richard D. Irwin, Inc.

Figure 2-1

#### HISTORY AND EVOLUTION OF MANAGEMENT THEORY

To understand management theory and practice, some knowledge of its development is helpful. Researchers have found that management is as old as civilization itself. Many writers

cite the passage from the Bible (Ex. 18) in which Moses' father-in-law advises him on how to organize and delegate. Yet the formal study of management is relatively new. As a discipline for formal study, management did not receive serious attention until about 1900. Since World War II, the study and practice of management has undergone revolutionary changes in its theoretical constructs, techniques, methods, and tools. We can expect continued change as the number, complexity, and size of organizations and technology rapidly increase.

Management began as a trial-and-error process. There was little or no theory and no forum for the exchange of ideas and practices. Recently, many have contributed to the study of management. Management practitioners and management scientists--including military leaders, philosophers, mathematicians, sociologists, psychologists, economists, and engineers--have all contributed to an emerging body of managerial theory and practice. However, there is no single well-accepted general theory of management.

To make some connection between past and present thinking and to gain insight on how society influences management, a few major components of the modern management movement and corresponding pioneer work is illustrated (Figure 2-2).

# EVOLUTION OF MAJOR MANAGEMENT THEORIES AND APPROACHES

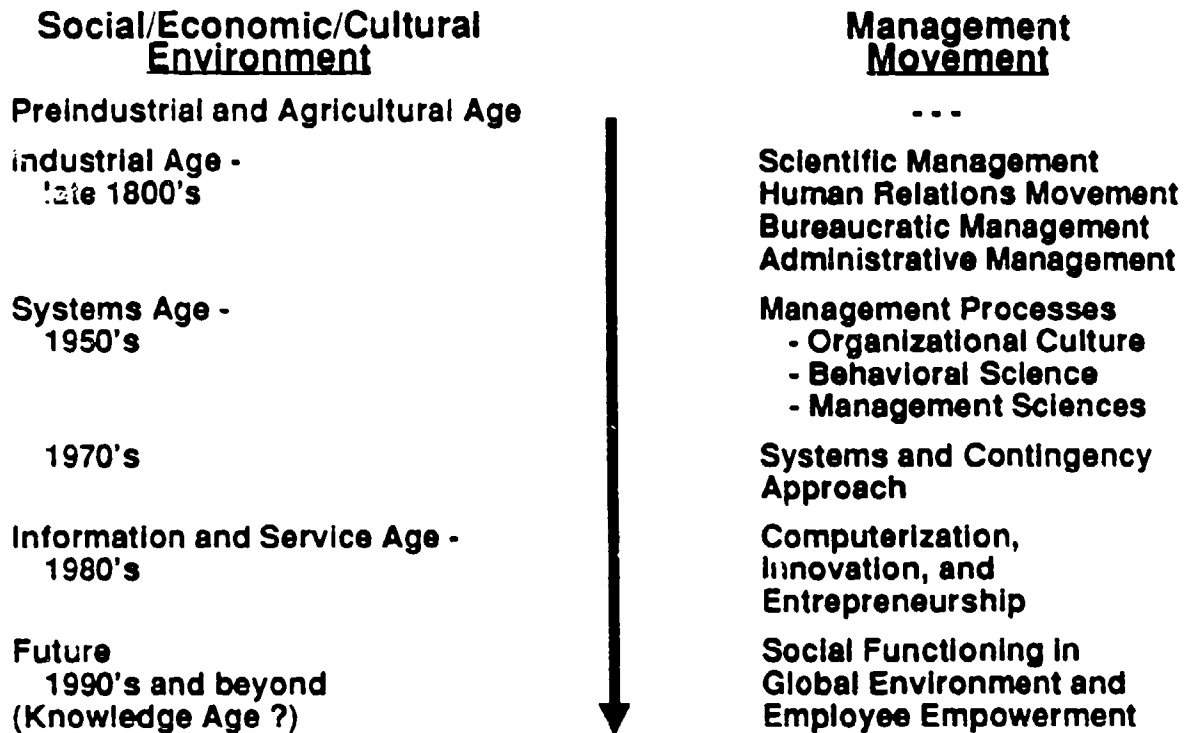


Figure 2-2

The evolution of major management theories and approaches has been influenced by numerous environmental impacts and academic efforts. The following overviews reflect a few of the key contributions.

## INDUSTRIAL REVOLUTION

Modern capitalism emerged from the invention of machinery, automation of industrial plants, and the advancement of transportation and communications (railroad and telegraph). In a short period of time, workers' skills were redirected from

handcraft skills to machine operation. The expansion of industrial and commercial production required more than engineering. It also required organization structure--some thought about what needed to be accomplished.

When large organizations were assembled, one of the few available models was that of the military. Military command and control provided a successful model that many large organizations adapted in the late 1800s.

Management began to be studied seriously by the early 1900s. Managers were seeking answers to questions such as how to increase the efficiency and productivity of a rapidly expanding work force. Technological insights became increasingly significant in efforts to expand productivity during World War I. These efforts led to a body of knowledge concerning plant design, job design, work methods, and other aspects of "the management of work."<sup>4</sup>

#### SCIENTIFIC MANAGEMENT

Frederick W. Taylor is generally regarded as the "Father of Scientific Management." He studied the flow of work, the time necessary to perform a task; then he presented the most efficient method for performing the job. Taylor showed large companies where they could make cost savings. His book The Principles of Scientific Management (1911) was read worldwide. He summarized what he conceived to be management's duties in four principles.

1. Development of a true science of managing, complete with clearly stated laws, rules, and principles to replace old rule-of-thumb methods.
2. Scientific selection, training, and development of workers; whereas in the past workers were randomly chosen and often untrained.
3. Enthusiastic cooperation with workers to ensure that all work performed is done in accordance with scientific principles.
4. Equal division of tasks and responsibilities between workers and management.<sup>5</sup>

Major General William Crozier, the Army's Chief of Ordnance for 16 years, applied scientific management in army arsenals prior to World War I. His efforts helped the nation prepare for war.

#### BUREAUCRATIC MANAGEMENT

At the turn of the century, German sociologist Max Weber established the basic premises of how enterprises are structured. He asserted that there are certain essential characteristics fundamental to ideal bureaucracies:

- o Division of labor, which results in increased specialization.
- o Authority hierarchy, which is an established chain of command starting at the highest level of management to the lowest level of the enterprise.
- o A formal system for the selection of employees, which determines hiring and promotions, based on expertise and merit.

- o Career orientation, which promises professionals in the organization to seek careers within their area of training, giving a continuity of organizational operations.<sup>5</sup>

## HUMAN RELATIONS MANAGEMENT

In the 1920s social scientists started to emphasize the personal dimensions of management. Lillian M. Gilbreth has been recognized as a pioneer in human resource management. She was a psychologist who teamed up with her husband Frank, an engineer, to build upon scientific management principles with human resource aspects to find the "one best way."

A key part of the human relations movement was the Hawthorne Research Study from 1924-1932. Some of the findings emphasized the importance of motivation of workers. For example, in Team Building, William Dyer states:

The Hawthorne study points out certain factors of a highly productive work team--

1. The boss had a personal interest in each person's achievement.
2. He took pride in the record of the group.
3. He helped the group work together to set its own conditions of work.
4. He faithfully posted the feedback on performance.
5. The group took pride in its own achievement and had the satisfaction of outsiders showing interest in what they did.
6. The group did not feel they were being pressured to change.
7. Before changes were made, the group was consulted.

8. The group developed a sense of confidence and candor.<sup>3, 5</sup>

These conditions, identified in a research effort in 1928 for building an effective work team, are still important considerations for managers today. Such human relations studies brought the behavioral sciences to the attention of management theorists.

#### ADMINISTRATIVE MANAGEMENT

While Taylor was developing scientific management, the French theorist Henri Fayol approached the study of management from the view of upper administration. Fayol, who is recognized as the "Father of Modern Management," identified five functions of management:

Planning - Helping an organization define and meet its objectives by outlining what an organization must do to be successful.

Organizing - Turning plans into action through leadership and motivation.

Controlling - Making sure the actual performance of the organization conforms with the performance planned for the organization.

Commanding (Directing) - Providing the leadership direction and guidance for accomplishment of a mission or task.

Coordinating - Managing independent effort and resources for a timely accomplishment the task of product.

To guide the manager in applying the five management functions, Fayol listed many principles of management that he felt were helpful. Among them are: no subordinate should report to more than one supervisor (commonly referred to as unity of command); a clear line of authority should extend from the top of the organization to the bottom (referred to as the Scalar chain); and employees should be allowed to use their initiative to develop their capacity to the fullest in influencing today's management thinking.<sup>5</sup>

#### BEHAVIORAL SCIENCE

The Behavioral Science Approach uses the concepts of behavioral sciences (such as psychology and sociology) to assist in understanding human behavior in the work environment. This approach focuses on the interrelationships among people, work, and organizations. It concentrates on such topics as motivation, communication, leadership, and work group formation. This approach assists managers in dealing with the role of human affairs in the organization.

#### MANAGEMENT SCIENCE

The essential feature of the Management Science Approach (also called Operations Research) is the use of mathematical tools as aids in managing operations. It focuses on solving technical rather than behavioral problems. It concentrates on concepts and techniques useful in solving problems related to



what the organization produces. The computer has contributed greatly to the development of this approach.

\* \* \* \*

Each of the aforementioned approaches illuminates aspects of the management process. Each approach has drawn strong advocates. Management theorists have now integrated aspects from each approach and have developed two modern systems.

#### ATTEMPTS TO INTEGRATE THE DIFFERENT APPROACHES

Since the 1960s, there have been attempts to integrate the various approaches to management.<sup>6</sup> One of these attempts, The Systems Approach, views organizations as total systems, with each components linked to every other part. Another, The Contingency Approach, states that the particular situation will dictate the correct managerial practice to be applied.

The Systems Approach. The Systems Approach to management views an organization as a group of interrelated parts with a single purpose. The action of one part will influence the others. The individual parts cannot be dealt with separately. To solve problems using the Systems Approach, the organization is viewed as a dynamic whole. Individual problems are not solved; rather, a total system of interrelated parts--involving the management functions of planning, organizing, and controlling--are exercised to find the best solution. Using The Systems Approach, managers assume a broad perspective on their jobs. Through a systems perspective, they more easily achieve coordination between the objectives of the various parts of the

organization and the objectives of the organization as a whole. The Systems Approach of Systems Analysis (SA) is often combined with Operations Research (OR/SA).<sup>7</sup>

The Systems Approach posits both closed systems and open systems. In principle, all businesses are open systems which depend on input from other systems. That is, a typical business (system) depends on other systems for such resources as money, materials, or employees. On the other hand, a closed system does not depend on input from other systems. However, closed systems are strictly hypothetical, because every imaginable system has some interaction with its external environment. Although social organizations are often treated and analyzed as if they are closed, the assumptions allowing for such treatment undermine the credibility of the analysis. Closed systems analysis tends to disregard the environment and thus to be preoccupied with internal functions; such analysis neglects equifinality and treats disruptive external events as error variance. The Equifinality Principle simply asserts that there are more ways than one of producing a given outcome. In a closed system, the same initial conditions must lead to the same final result; nothing has changed and therefore nothing changes. In open systems, however, the principle of equifinality applies.

In practice, most armies insist that there is one best way for all recruits to assemble their guns; most coaching staffs teach one best way for all baseball players to hurl the ball in from the outfield. In industry, the doctrine of scientific management as propounded by Taylor and his disciples begins with

the assumption of one best way: discover it, standardize it, teach it, and insist that everyone use it. It may be true that under fixed and known conditions there is one best way. But in human organizations the conditions of life are neither fixed nor fully known. Such organizations are better served by the general principle, characteristic of all open systems, that there need not be a single method for achieving an objective. Finally, we can predict that organizations in our society will (and should) increasingly move toward improvement of research to assess environmental forces. Witness the dramatic improvement in Army recruiting since the introduction of extensive, detailed market analysis in 1980. We are in the process of correcting our misconception of an organization as a closed system, but the process is slow.<sup>8</sup>

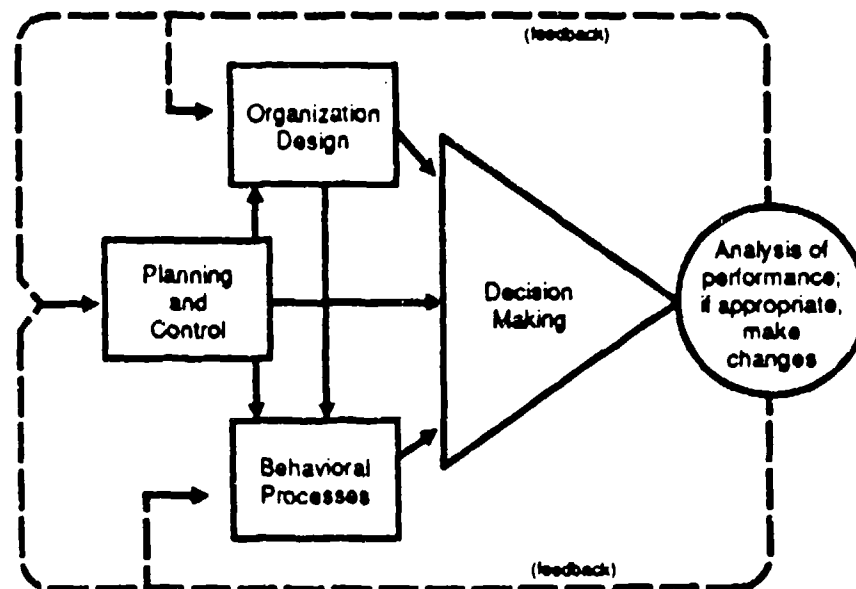
The Contingency Approach. The Contingency Approach, like the Open System, assumes that there is no best way to plan, organize or control. This approach seeks to match different situations with different management methods. Both the Systems Approach and the Contingency Approach provide valuable insights for students of management. In practice, the differences are frequently more apparent than real.<sup>9</sup>

Martin J. Gannon offers yet another view of the management process in Management: An Organizational Perspective (1977). Gannon blends many of previously described approaches into a basic model which posits four dimensions within which managerial activities must be performed for an organization to function. In addition to organization design, behavioral processes, and

planning and control, he includes decision-making as a fourth and key dimension of management. Decision-making consists of recognizing problems or gaps between what should be and what exists, identifying possible causes, developing alternative solutions, analyzing and selecting the best alternatives, then carrying out the action.

The relationships among the dimensions of management are dynamic and important. This perspective is graphically illustrated in Figure 2-3. This integrated model is influenced by the external environment and external relations, also important aspects of management.<sup>10</sup>

### **A MODEL OF THE FOUR DIMENSIONS WITHIN WHICH MANAGERIAL ACTIVITIES TAKE PLACE**



Source: Management: An Organizational Perspective, copyright 1977 (c) by Little, Brown and Company. Used by permission of Little, Brown and Company.

Figure 2-3

The management process becomes more complete when evaluation is integrated into the model. The management model is then more dynamic. Feedback and modification pave the way for organizational changes as more relevant information is applied to modifications and refinement of the process while the process itself is carrying out organizational activities. Hence, one organizational objective is, in fact, to generate change.

## MANAGEMENT MODEL

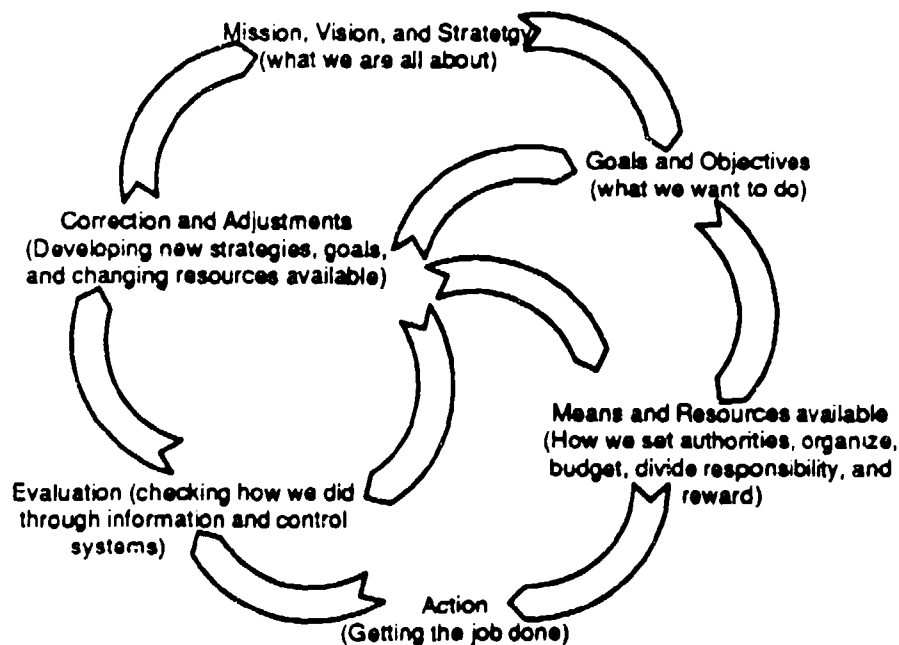


Figure 2-4

## APPLICATION OF MANAGEMENT THEORY - SOME CONTEMPORARY CONCEPTS

The commanding officer at any level should center his attention on the most important and most decisively significant problem or action of the whole situation he is handling and not on any other problem or actions--  
11

Mao Zedong or Mao Tse Tung

Thus management theorists have turned their attention to the relationships among their organizations and technology, society and industrial production. All of these have changed very much in the past century. Rapid economic growth, developing technology, and advances in communications and transportation have made it necessary for organizations to evaluate their methods and for managers to find improved ways to get the job done. Some basic concepts that managers have found helpful are described as follows:

### FUNDAMENTALS OF ORGANIZING

Organizing is "the process of defining the essential relationships among people, tasks, and activities so that all of the organization's resources are integrated and coordinated to accomplish its objectives effectively."<sup>12</sup> A manager performs four functions in an organization:

1. He analyzes the tasks to be accomplished, dividing those jobs into work assignments which can be completed by one person.

2. He divides tasks into common groups which consist of workers who can effectively accomplish the job. This element in

the organizing function is known as departmentalization. According to Pearce and Robinson, four of the most commonly used bases for departmentalization are: functional, product, customer, and geography. A more detailed discussion of departmentalization can be found in their book, Management.<sup>12</sup>

3. He selects and appoints leaders of each group. The leaders then assume the responsibilities for accomplishing that group's tasks.

4. He reviews organizational objectives and assigns priorities to each objective. Leaders of the organization are then informed of these priorities.

Proper organizing is critical to effective managing, since it directly impacts on the efficiency and quality of an organization's work. Organizing not only establishes an authority framework, it facilitates communication throughout the organization.

Other important concepts not previously discussed and directly relevant to the fundamentals of organizing include:

1. Authority. Authority has been defined in many ways, but essentially it is the legitimate power to command, to make decisions, to perform, and to expand resources. Authority in an organization flows from the top down. The leader, the ultimate authority, holds the key position in the organization. Authority comes from the bottom to the extent that subordinates are willing to respond to a superior's directives. The nature of the situation should determine the source of authority. Another

view asserts that the person with the most knowledge and expertise in a given situation has the right of authority.

2. Delegation. Delegation is the process by which a manager assigns tasks and authority to subordinates, who then accept responsibility for those jobs. Delegation is thus related to the concepts of responsibility, accountability, and authority. Immediate subordinates assume responsibilities for the assignment for tasks delegated by the manager, or the person who has authority. Accountability signifies the subordinate's obligation to that manager to perform those designated duties efficiently and satisfactorily. Authority related to the assigned duties must also be granted to the subordinate, thus he can accept responsibility for fulfillment of the task.<sup>12</sup>

3. Motivation.

President John F. Kennedy masterfully motivated the masses with this famous imperative as he assumed the nation's highest office:

And so my fellow Americans ask not what your country can do for you. Ask what you can do for your country. My fellow citizens of the world, ask not what America will do for you, but what together we can do for the freedom of man.<sup>13</sup>

Such motivation serves to energize human behavior. The process of stimulation action and its importance to management are evident in the great number of books and articles written on the subject. Few topics in management literature have gained more attention over the past 25 years than those pertaining to motivation.<sup>14</sup>

Perhaps the current interest in motivation reflects our complicated modern environment. First, an organization's overall



performance depends on the performance of its individuals and groups. No business or organization can function without these human resources. Second, to understand how an organization functions, we must understand why individuals behave as they do. Through an understanding of motivation, we can more fully comprehend how variations in such things as job design, leadership styles, and compensation systems affect performance, job satisfaction, and numerous other human variables. Third, given higher operating costs and external demands, organizations must do everything possible to remain efficient. Many of today's most competitive and successful managers and leaders are applying what they have learned about human nature and motivation to keep their organizations profitable. Finally, organizations have "become aware of the importance of developing a talent pool that will be a perpetual reservoir of skills and abilities to keep them competitive on a long-term basis. They now recognize that a well-trained, highly motivated human resource is a prerequisite for developing and utilizing technologically advanced equipment."15

4. Power. Social scientists usually define power in terms of the ability to influence other persons to do what one wants, based on control. A conclusion that emerges from a study conducted by David C. McClelland, professor at Harvard University, and David H. Burnham, president of McBer Company, a behavior science consulting firm in Boston, is that "...Contrary to what one might think, a good manager is not one who needs personal success or who is people-oriented, but one who likes

power." Their study indicated that effective managers can influence people, rather than do things better on their own. Yet there must be other qualities that go into the making of a good manager.

McClelland and Burnham found that although the top 500 managers of 25 U.S. companies did possess a high need for power (a desire for influencing people). But they further determined that this need must be disciplined, controlled, and directed toward the benefit of the organization as a whole, not toward the manager's personal power. In other words, the manager's need for power should be externally socialized--focused so that the entire institution benefits. Managers, leaders, and even nations with this synergetic profile tend to create high morale, expanding the organizations they head.

Profiles of the very best managers reveal several characteristics which serve to "balance" their desire for power: a great emotional maturity; along with egotism, a democratic, coaching managerial style; and an abundance of good common sense. If a desire for power is tempered by maturity, it does not lead to an aggressive, egotistic expansiveness but to a solid productive organization.<sup>16</sup>

#### LEADERSHIP AND POWER

From a different perspective, according to John W. Gardner, former U.S. Secretary of Health, Education and Welfare, "Power is simply the capacity to bring about certain intended consequences in the behavior of others." Parents, teachers, policemen,

foremen, middle-level executives, all have power by virtue of their positions. Power is also attained by virtue of intrinsic qualities--persuasiveness, beauty, leadership, common sense, status and other attributes.<sup>14</sup>

It is necessary to explain the difference between power holders and leaders. Leaders generally have a desire for power; however, many power-holders have no trace of leadership. The tax assessor, the loan officer in the bank, the policeman on the beat, the headwaiter--each has power in some measure, but not necessarily the qualities of leadership. There are some power holders who, for example, are very generous contributors to local political campaigns. They may be able to control the politicians, but they have no personal capability for leadership themselves.

Historians tell us that during the Russian Revolution and the early days of the U.S.S.R., while Lenin and Trotsky were teaching about leadership and revolutionary ideology, Stalin was becoming the master of the revolution's organizational base, which became the decisive source of power. When rising in the party hierarchy, Khrushchev was heard to say, "When Stalin says dance, a wise man dances."<sup>17</sup>

Where does power come from? The sources are infinitely varied and cover a broad spectrum: position, property, personal attractiveness, expertise, reason, financial wealth, persuasive gifts, the capacity to motivate, knowledge and information, public opinion, physical strength, charisma, raw intelligence,

and proximity to other power bases. In management, power is a key element in the manager's ability to control the organization.<sup>17</sup>

#### LEADERSHIP/MANAGEMENT STYLES

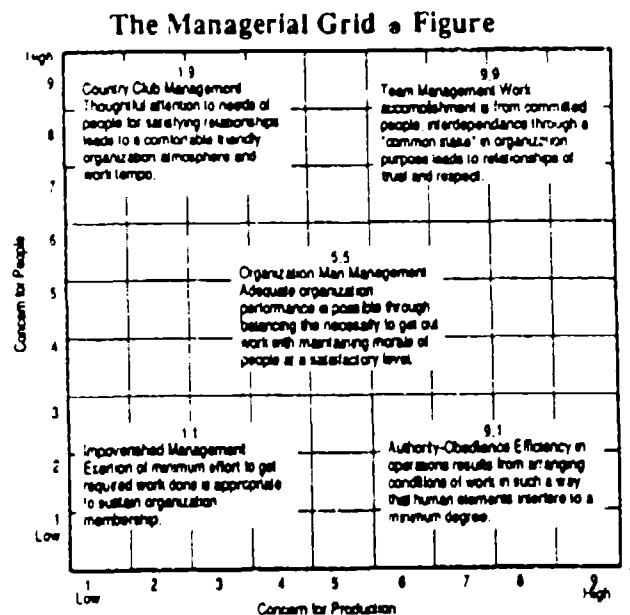
Regardless of the differences between the military and industry, the discipline of leadership and management in the two arenas is quite similar. The bottom line: It's a matter of running things. That is what leaders and managers do, whether in uniform or coat and tie. They run things, get things done. They take categorical resources, organize them, and direct their application toward specific missions, goals, tasks, aims, and objectives. They are always cognizant of what those goals are, always mindful of the resources at hand and of what must be achieved.

Because there are no absolutes in human behavior, there are none in leadership. Leaders must therefore use the tools achieved from past research and apply these lessons to the future. A few of the major leadership models of recent past provide a foundation for possible use in looking into the future.

Consider McGregor's X and Y Theory: Theory X assumes that people are inherently bad and find work distasteful; Theory Y, on the other hand, assumes that people see work as natural as play. McGregor believed in the Theory Y approach and thus assumed directing, controlling or manipulating workers in an organization was the wrong approach; rather he asserted that workers would be

more productive when given opportunities for self-control and self-direction.

Blake and Mouton's Managerial Grid Model (see Figure 2-5) illustrates the best way to manage in their theory of managerial leadership. To them, the 9,9 position on their model, "is acknowledged by managers as the soundest way to achieve excellence."<sup>18</sup>



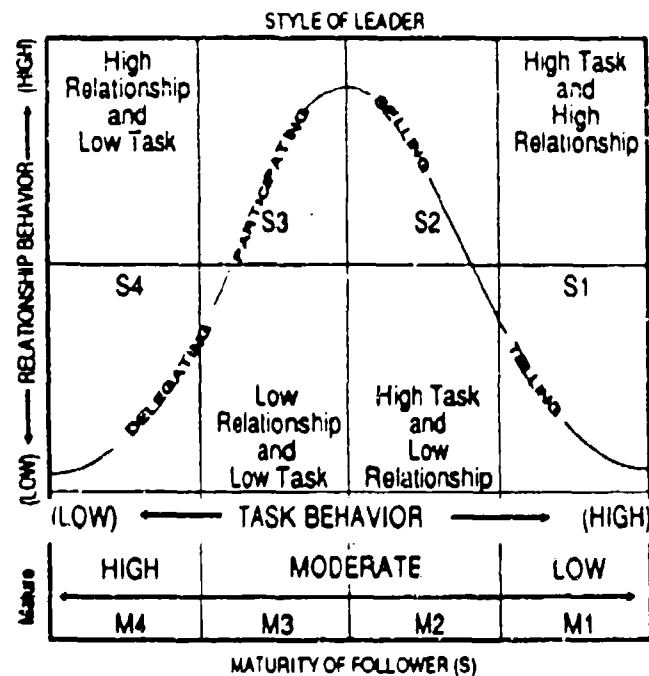
Source: The Managerial Grid Figure from *The Managerial Grid III: The Key to Leadership Excellence*, by Robert R. Blake and Jane Strygley Mouton. Houston: Gulf Publishing Company, Copyright 1985, page 12. Reproduced by permission.

Figure 2-5

The 9,9 in the upper right corner of the grid denotes the "integration of task and human requirements into a unified system of interplay." This is achieved through team management. Some critics of this grid model argue that concern for humans is not a behavior but rather an attitudinal dimension. The model considers five leadership styles or behaviors.

Hersey and Blanchard's Situational Leadership Model (see Figure 2-6) recognizes that different styles of leadership depend on the situation and maturity of the follower. The Situational Leadership Model is based on the leader's task and relationship behavior which is dependent on the maturity of the follower on a specific task. It is the task-specific maturity level, then, that indicates to the leader which style of leadership to use. The Model is divided into quadrants: Telling, Selling, Participating, and Delegating. These terms indicate a type of leader behavior based on the "willingness and ability" of the follower to do the task.<sup>18</sup>

### SITUATIONAL LEADERSHIP MODEL



Source: Power Management, by Brewer, Ainsworth, and Wynne, Copyright 1984 by Prentice Hall, Inc., Englewood Cliffs, New Jersey

Figure 2-6

## TOTAL QUALITY MANAGEMENT (TQM)

At the conclusion of World War II, Japan was one of the most devastated countries in the world. The country had little food, clothing, housing, or money for imports. It had to rebuild from the ruins up. Efforts to reorganize began in 1947, when Dr. Edward Deming arrived as a result of a formal request to the United States Defense Department. Deming was an expert who, as a member of the American Standards Association (ASA), had worked on a classified project for the War Department. That project developed a statistical application for quality control of war materials and manufactured products. Its efforts established standards or control charts used by government agencies in the expeditious production and quality control of war supplies. ASA became committed to a change in management style, and that style evolved into what is now known as Total Quality Management (TQM).

Deming explained it best--"TQM is not instant pudding. It involves risk-taking, tenacity, and patience. You have to rethink the way you operate your enterprise, how you plan, how you deal with people, and how you react to customers."<sup>16</sup> Deming's plea for patience was well-advised. TQM provided the theoretical foundation for the emergence of Japan as a world economic power a half-century after the ruinous defeat in World War II.

Our President now urges Americans to create a TQM environment for our own national growth and well-being:

The improvement of quality in products and the improvement of quality in service--these are national priorities as never before....19

Reasserting our leadership position will require a firm commitment to total quality management and the principle of continuous quality improvement....Quality improvement principles apply to small companies as well as large corporations, to service industries as well as manufacturing, as well as private enterprise.20

President Bush  
September 29, 1989

#### TQM Strategy For The Department of Defense (DoD)

Total Quality Management is "both a philosophy and a set of guiding principles that represent the foundation of a continuously improving organization."21 It applies quantitative methods with human resources in order to improve the material and services supplied to an organization. It encompasses all the processes within an organization, centering on the degree to which the needs of the customer are met, presently and in the future. TQM integrates basic management technical tools under a disciplined approach.

The objective of DoD's TQM implementation strategy is to achieve continuous improvement of products and services. This goal encompasses all DoD activities. The term "product" as used by DoD defines not only the weapons and systems used by military personnel, but the result of all acquisition and logistics functions, to include design, procurement, maintenance, supply, and support activities. Broedling believes that "everything DoD does, every action that is taken, every system that exists, involves processes and products that can be improved or services



that may be performed more efficiently."<sup>22</sup> This same concept applies to all products and services, to include those that ultimately may be employed on the battlefield. Essentially, TQM affects everything DoD does, everything it produces, and/or everything it procures. On March 30, 1988, DoD Secretary Carlucci signed a Department of Defense Posture statement on Quality. He stated that he was giving his priority support to getting the TQM programs implemented as the DoD vehicle for attaining continuous quality improvement. He envisioned TQM as a means to tap the creativity of every manager and workers so that the quality of their functions would be upgraded in order to better satisfy the ultimate users of DoD weapon systems and equipment. Carlucci directed TQM to focus on the continuous process of acquisition. To accomplish this, a positive climate would stimulate new ideas, and procedures would be designed to better manage development and implementation of changes.<sup>23</sup>

In November 1988, the Secretary of the Army and Chief of Staff of the Army issued a joint message that offered powerful support for TQM: "TQM is a tool which must become an integral part of every functional activity at all levels, in every organization, government and industry."<sup>24</sup>

Figure 2-7 provides a review of some of the key elements deployed in a viable TQM effort. For more details the reader is encouraged to review the DoD Total Quality Management brochure which outlines and provides a list of reading materials<sup>25</sup> available from:

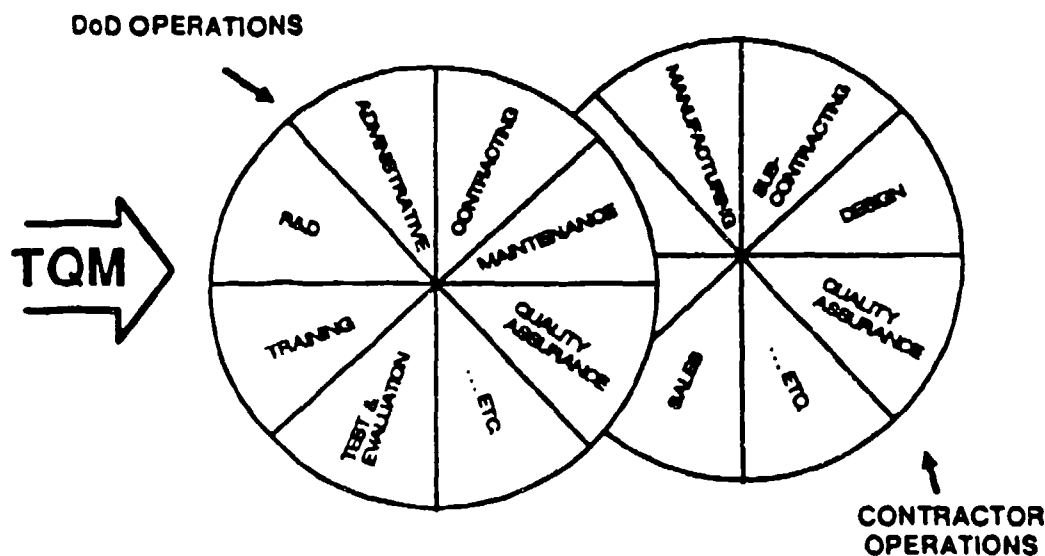
## KEY ELEMENTS IN A VIABLE TQM EFFORT

- TQM is a management system, a way of doing business, a never ending process.
- TQM involves process orientation: product excellence flows from process excellence.
- TQM requires the implementation of process management basics, to include.
  - Process definition and understanding
  - Process performance measures
  - Collection of data and analysis
  - Corrective action
- TQM demands top management long-term commitment, participation and leadership so that continuous process improvement may flourish.
- TQM involves organizational goal setting and review.
- TQM is customer focussed.
- TQM employs a disciplined process improvement methodology using a wide variety of statistical based tools and group dynamics technique.
- TQM provides for top management motivation of managers and workers to not only do the work but to improve processes within their area of responsibility.
- TQM employs teaming structures, including extensive use of cross-functional teams.
- TQM involves celebration of success and rewards for performance.
- TQM begins and ends with training.

Figure 2-7

Figure 2-8 depicts the TQM process in the broadest terms. It attempts to portray, without great detail, the wide range of processes that essentially encompass DoD and contractor acquisition operations. According to Jack Strickland, "TQM is a management process that is aimed at the never-ending improvement of every one of these processes."<sup>24</sup>

## TQM APPLIES UNIVERSALLY



TQM IS A MANAGEMENT PROCESS AIMED AT CONTINUOUSLY IMPROVING PROCESSES. IT AFFECTS EVERYTHING DoD DOES, PRODUCES, OR PROCURES.

TQM as a productivity and quality improvement technique is explained in more detail in Chapter 16 -Installation Command and Management.

Figure 2-8

### MANAGEMENT BY OBJECTIVES (MBO)

MBO encourages planning for and pursuing future organization or individual objectives. MBO is a key part of most management systems. It is employed to make good use of an organization's human resources. It specifies the ways and means to accomplish the end.

There are many detailed approaches, methods, and techniques to implement MBO. Success is usually tied to:

- Having supervisors clarify management expectations.
- Having employees develop their own goals/objectives and agree upon the accomplishment with their supervisor, thus establishing a sense of partnership.
- Establishing goals/objectives that are specific and realistic, but challenging and with a sense of purpose.
- Keeping the process simple.

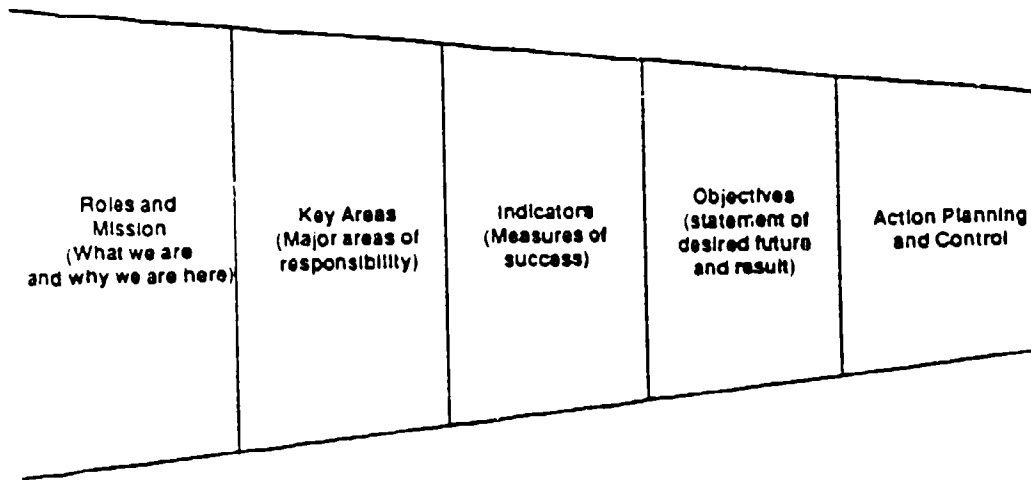
MBO can be a powerful motivator, resulting in improved use of time, resources, and commitment to accomplish organizational and individual growth.

## RESULTS MANAGEMENT

A spin-off and refinement of MBO is a process called Results Management. It sets forth a practical and usable process for managing and work planning; it offers a program for accomplishment and results. It focuses on uncomplicated, straightforward ways to use time, skills, and efforts on the job in deliberate ways. The process calls for setting pragmatic goals, identifying key areas of responsibility, setting priorities, thinking and working more proactively, and follow-up monitoring and control.

The Results Management Funnel (Figure 2-9), illustrates the process that managers and employees can follow to obtain results that count.

## RESULTS MANAGEMENT FUNNEL



Source: "Results Management Seminars/Workshop Workbook," Gus Matzorka, Organizational Enrichment Association, Rocky River, Ohio

Figure 2-9

This system emphasized outputs, not just planning and paperwork. As with all processes, Results Management works best when realistic goals are set, when employees understand the process, and when managers avoid overkill.<sup>25</sup>

### DEMONSTRATION OF SHOWCASE MANAGEMENT

A showcase serves to demonstrate that the job can be accomplished well. It integrates the needs of those using

the products or services and resources of the organization. It can be used to help promote and present products and services to specific audiences inside and outside the organization, to show what can be done, to strengthen existing partnerships and to seek new partnerships.

In his recent book, The New Realities, Peter Drucker describes many contemporary management concepts in terms of a few essential principles. He states:

Management is about human beings. Its task is to make people capable of joint performance, to make their strengths effective and their weaknesses irrelevant. This is what organization is all about, and it is the reason management is the critical determining factor.

...  
Because management deals with the integration of people in a common venture, it is deeply embedded in culture.

...  
Every enterprise requires commitment to common goals and shared values.

...  
Every enterprise is composed of people with different skills and knowledge doing many different kinds of work.

...  
Management must also enable the enterprise and each of its members to grow and develop as needs and opportunities change.

...  
Performance has to be built into the enterprise and its management: it has to be measured -- or at least judged - and it has to be continuously improved.

...  
Finally, the single most important thing to remember about any enterprise is that results exist only on the outside. (The (proper) result of a business is a satisfied customer (the American public). Inside an enterprise, there are only costs.

...  
Managers who understand and observe these principles and functions will be achieving, accomplished managers.<sup>26</sup>

## MANAGEMENT ETHICS

The success of the Army or any organization rests on a solid foundation of ethical principles and values. The professional values of loyalty, integrity, duty, selfless services, and the individual values of commitment, competence, candor and courage are essential characteristics that commanders need for building and maintaining an effective fighting force.

A leader should be responsible for establishing and maintaining an ethical climate--one in which people know that ethical behavior will be rewarded and unethical behavior is unacceptable. Likewise, a leader should not create an ethically ambiguous climate for subordinates. They should recognize that ends are not more important than means, and they should permeate the organization with the leader's commitment to rectitude.

A leader or commander should build upon a foundation of ethical principles and values and apply the basics of management. He is directly responsible to develop habits of success, among those in his organization. This requires setting the example, making tough decisions, and working closely with those assigned to the unit to develop them into strong individuals and team performers. It comes from instilling the knowledge, training, discipline and commitment in all members of the group and providing equipment for the organization to effectively accomplish its mission. Thus responsible management provides a sense of feeling of serving with pride to the unit and gives the leader his greatest evidence of accomplishment: a job well done.

## MANAGEMENT IN THE ARMY

If I always appear prepared, it is because before entering on an undertaking, I have meditated for long and have foreseen what may occur. It is not genius which reveals to me suddenly and secretly what I should do in circumstances unexpected by others; it is thought and meditation.<sup>28</sup>

Napoleon

The Army doctrinal framework for management, ethics, leadership and command at senior levels is very well documented, in such U.S. Department of the Army Field Manuals as: FM 22-100, Military Leadership;<sup>27</sup> FM 22-103, Leadership and Command at Senior Levels;<sup>28</sup> FM 100-1, The Army;<sup>29</sup> FM 100-5, Operations,<sup>30</sup> just to name a few of the key ones.

While one manual may flow directly from another and each manual is designed to build on our U.S. Army AirLand Battle doctrine, they are also complementary to the long-standing principles of war and our fundamental military leadership. Some manuals are primarily written to teach development of leadership skills. Other manuals, such as FM 22-103, recognize the complexity of leadership and command at senior levels. This manual provides concepts of indirect leadership and outlines fundamentals necessary in building large organizational teams.

Many of the Army's fundamental roles in helping to secure the U.S. national policy objectives are provided in detailed manuals. That basic reference is FM 100-1, The Army. It is the Army's capstone for outlining the roles and missions which combined with the other members of the Department of Defense family provide for our national security.



Leading, managing, and synchronizing DoD resources is far from a simple task. Senior leaders must struggle to maintain an overview of the entire organization and to perceive their own role in the context of a comprehensive understanding of the organization. Such holistic approaches are not developed overnight. The Biblical petition that we should "run with patience the race that is set before us" surely applies to senior leaders. They need the patience to learn wholly how their organization works; the diligences, intelligence and analytical skills to solve complex organizational problems and to chart promising new directions for the organization; and the courage to see their decision-making and planning to their proper ends.

#### THOUGHTS ABOUT THE FUTURE

We are entering one of the most challenging periods [1990s] in our history. The challenges that face us will test our nation, our organizations, and each of us as managers and leaders.<sup>31</sup>

Brian Mansir and Nicholas Schact

No one can accurately predict what tomorrow will bring. We do know that volatility, uncertainty, complexity, and ambiguity will define our future work environment. Some of the change patterns will be discontinuous. Many of us joined the Army or a government agency to pursue careers that would progress along an upward and continuous line. Thanks to education, technology, and organizational values, we knew what patterns were available or were developing. Most change was incremental, so we could prepare for it and enjoy considerable satisfaction when the

mission was accomplished, or the next step obtained. We were able to follow past experiences and certain rules.<sup>32</sup>

Now change seems to be much more unpredictable; it exceeds what we have known in the past. As we view the world, we realize organizations reflect society and political needs, which accommodate expanding democracy and periods of turmoil. Bureaucracies may remain the foundation for basic stability during these periods of rapid change, but they will have to be more open and adaptable to be effective--or even to survive. Management will continue to transform the world through its influence on social and economic development.

Edgar H. Schein tells us that it is possible that "the only thing of real importance that leaders do is to create and manage culture." This is the key executive function which separates strategic leaders from managers and administrators. What is organizational culture? It is the set of basic assumptions and taken-for-granted beliefs which define an organization's view of itself and its environment. It is a "learned product of group experience" and can therefore only be found where there is a definable group with a significant history. It takes far longer to develop than organizational "climate of command." It can be changed only over significant, event-filled periods. Thus, a leader/manager must carefully assess his organizational culture in order to understand why things happen as they do. Then the leader has a chance to influence the direction and manage the consequences of that culture.<sup>33</sup>

Tom Peters tells us that his first two books about excellence in the corporate world described the parameters of success in a relatively stable and predictable environment. That environment, he now argues, no longer exists. "There are no excellent companies" is the opening assertion in his recent book Thriving on Chaos.<sup>34</sup> By that he means no company which he believes has formerly achieved some established standard of excellence can now be labeled "excellent" because the incredible pace of change has turned excellence into a process rather than an achievable standard. The range of implications for management theory in an unpredictable, chaotic organizational environment have not been explored. Toffler's Future Shock has indeed described upon us. What will it mean for our organizations and our management practices?

Behavioral scientists, psychologists, and especially economists have told us for years that human behavior can be largely explained by the so-called "self-interest" model. But now Robert H. Frank argues that a significant proportion of our behavior is better explained by the "commitment" model. Furthermore, there are competitive advantages to be realized for behavior which would, according to the self-interest model, be irrational. This is primarily true if a person communicates that he intends to operate contrary to the self-interest model. For example, if you know from past behavior that I will go to inordinate expense to avenge a slight economic loss caused by your unethical business practice against my firm, this knowledge may result in better deals for me compared to my competitors.

Frank has identified whole classes of behavior which suggest that the actors are driven by emotion (the commitment model) rather than reason (the rational, self-interest model). Why do soldiers throw themselves on live grenades to save their comrades? The implications of such sacrifice for management theory have yet to be explored.<sup>35</sup>

We surely do not know what's on the horizon, but we must be aware that things are changing. Variations of existing organizations and new organizational forms will provide viable future models. But as Henry Mintzberg cautions, "managers who are obsessed with either change or stability are bound eventually to harm their organizations."<sup>36</sup> A key to effective management is to recognize and sense when to exploit current strategies or when to go with the new.

Hellriegel and Slocum (37:721-722) have identified four change strategies. A technology strategy focuses on change in work flows, methods, materials, and information systems. The organizational-structure strategy emphasizes the internal changes that are brought about by the manager as he performs his decisional role. In this role, the manager is constantly on the lookout for new ideas and anticipating the consequences of actions undertaken. Task strategies focus on specific job activities that have been changed to increase both the quality of the employees' work experience and their on-the-job productivity. People strategies usually are directed toward improving communications and relations among individuals and groups to achieve increased organizational effectiveness.

Charles Handy asserts that courageous managers will move boldly when the unlikely happens, embrace change and learn from experiences where the models and rules are always there to follow. They will overcome resistance to change and unproductive behavior by understanding people and blending individual strengths and teamwork to solve problems and increase productivity and quality.<sup>38</sup> Continuous management improvement processes will be used by dynamic and prospering organizations. Many techniques such as TQM will be used to create and sustain a culture of continuous improvement. The manager will deliberately strive to create a positive and dynamic working environment, develop teamwork, apply analytical methods and use the creativity of all employees in his unit. An energized, collective effort to define, assess and improve all significant processes within the organization and to identify, reduce and eliminate where possible all forms of waste provides the key to substantial and continual improvement.<sup>37</sup>

We do know that managers in the 1990s and the 21st century will be continually challenged to review their roles and responsibilities. They must seek to blend the basic theories of management with nontraditional approaches to do their jobs better. A primary managerial task will be to instill a corporate vision that the organization lives by and to provide quality goods and services with (as always) limited resources. It will be necessary not only to make decisions for today, but also to anticipate those for tomorrow. Management must involve the entire work force in the revolution of management.

Tomorrow's work force will be highly skilled and well-educated; it will want to apply knowledge more fully than many have in the past. Because of employee diversity, organizations have the potential to be stronger if managers can successfully blend the different values, knowledge and background in the workplace to achieve common goals.

The ways managers diagnose problems and their precision in recognizing the need for change will affect the change process itself. The success of a change program depends largely on the current levels of dissatisfaction, support by top management for the change effort, and the correct diagnosis of the sources of resistance to the change effort. Partnerships in and outside the unit will be essential. The best theorists believe in constant improvement, pro-active management, and elimination of barriers. The following illustration reveals some of the actions that contribute to increasing an organization's capabilities and achieving success (Figure 2-10).<sup>34, 37</sup>

#### MANAGEMENT INFLUENCES THAT WILL CONTRIBUTE TO ORGANIZATIONAL SUCCESS



Figure 2-10

In "Six Basics for General Managers," Andrall E. Pearson splendidly sums up the attributes of outstanding managers:

They develop an instinctive work environment, spearhead innovative strategic thinking, manage company resources productively; direct the people development and deployment process; build a dynamic organization; and oversee day-to-day operations. Individually, none of these things is totally new or unique. But successful GMs are better at seeing the inter-relationships among these six areas, setting priorities, and making the right things happen. As a result, their activities in these areas make a coherent and consistent pattern that moves the business forward.

These six responsibilities don't tell the whole story, of course. Leadership skills and the GM's personal style and experience are important pieces of the whole. But focusing effort in these six areas will help any GM become more effective. And that should mean making the right things happen faster and more often - which is what all of us want to achieve as general managers.<sup>39</sup>

#### SUMMARY

This chapter presents key points in management theory and traces the evolution of the concepts. It describes several management approaches. Common management challenges are outlined. Finally, the chapter identifies some generally accepted strategies for organizational refinement, change and individual managerial effectiveness.

Systems theory is most useful for understanding the organization and operation of Army management. The systems approach to management is developed in greater detail in the next chapter (Chapter 3 of Army Command and Management: Theory and Practice).

Application of management theory by Army strategic leadership is especially challenging because of the wide-ranging and diverse parameters imposed by the American way of resourcing the Army. Requirements during peacetime differ radically from those prevailing during a total war for national survival. Yet management systems and the people who make them work must be capable of rapidly adjusting to such radically altered circumstances.

Finally, applications of management theory must account for the Army's focus on the fighting soldier on the line and on the mission requirements. Anticipating and meeting the needs of combat units engaged in activities which span the operational continuum may require measures not easily justified by theories developed from experience in the marketplace or the routine bureaucracy. The fusion of military art and science into emergent management theory is a significant part of the military management process. Successful management is required for "The survival of the United States as a free and independent nation, with its fundamental values intact and its institutions and people secure." - The White House, 1990.<sup>40</sup>



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